

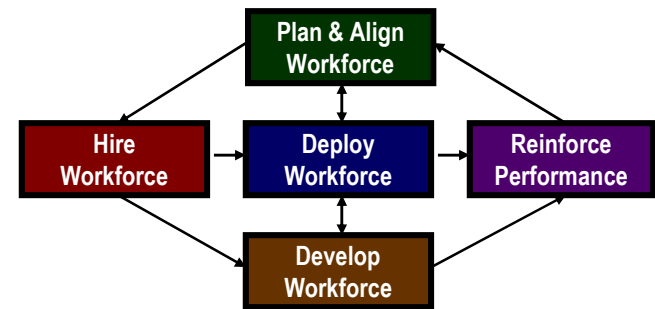
---

**State of Washington  
Department of Transportation  
Ferries Division**

**Merit 5 Employees Only**

**Human Resource  
Management Report**

---



October 2009

## Managers' Logic Model for Workforce Management



# Executive Summary

WSDOT Ferries Division Merit 5 Employees Only FY2009

Performance Measure	Status	Action Priority <sup>e</sup>	Comments
<b>PLAN &amp; ALIGN WORKFORCE</b>			
Management profile <sup>a</sup>	N/A% = "Managers"; N/A% = WMS only	N/A	
% employees with current position/competency descriptions <sup>b</sup>	100.00%	Low	
<b>HIRE WORKFORCE</b>			
Average Time to Hire Funded Vacancies <sup>c</sup>	68 avg days to hire (of 105 vacancies filled)	N/A	
Candidate quality ratings <sup>c</sup>	78% cand. interviewed had competencies needed 100% mgrs said they were able to hire best candidate	N/A	
Hiring balance (% types of appointments) <sup>c</sup>	0% promo; 97% new hires; 3% transfers; 0% exempts; 0% other	Medium	
Number of separations during post-hire review period <sup>c</sup>	21	Medium	
<b>DEPLOY WORKFORCE</b>			
Percent employees with current performance expectations <sup>b</sup>	100%	Low	
Overtime usage: (monthly average) <sup>c</sup>	4.30 hours (per capita); 59% of EEs receiving OT	Low	
Sick leave usage: (monthly average) <sup>c</sup>	7.08 hours (per capita)	Low	
# of non-disciplinary grievances <sup>c</sup>	66 grievances	Low	
# of non-disciplinary appeals & Dir's Reviews filed <sup>c</sup>	2 appeals, 0 Director's Reviews	N/A	
<b>DEVELOP WORKFORCE</b>			
Percent employees with current individual training plans <sup>b</sup>	100%	Low	
<b>REINFORCE PERFORMANCE</b>			
Percent employees with current performance evaluations <sup>b</sup>	100%	Low	
Number of formal disciplinary actions taken <sup>c</sup>	12	Low	
Number of disciplinary grievances and appeals filed <sup>c</sup>	5 grievances; 5 appeals	Low	
<b>ULTIMATE OUTCOMES</b>			
Turnover percentages (leaving state service) <sup>c</sup>	7.80%	Medium	
Diversity Profile <sup>a</sup>	25.5% female; 13.2% people of color; 80.5% 40+; 0.1% with disabilities	Medium	
Employee survey overall average rating <sup>d</sup>	N/A	N/A	

a) Data as of 6/30/09

b) Data as of 6/30/09 or agency may use more current date (if so, please note in the "Comments" section)

c) Data from 7/1/08 through 6/30/09

d) Data as of November 2007 State Employee Survey

e) Action Priority: H=High, M=Medium, L=Low For those measures that have Action Steps

# Plan & Align Workforce

**Outcomes:**

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

**Performance Measures:**

**Management profile**

Workforce Planning measure (TBD)  
Percent employees with current position/competency descriptions

## Management Profile

Agency Priority: N/A

<p><b>WMS Employees Headcount = 0</b></p> <p><b>Percent of agency workforce that is WMS = 0%</b></p> <p><b>All Managers* Headcount = 0</b></p> <p><b>Percent of agency workforce that is Managers* = 0%</b></p> <p>* In positions coded as "Manager" (includes EMS, WMS, and GS)</p>	<p><b>Analysis:</b></p> <p>There are no "Manager" positions (EMS, WMS, GS) in Merit 5</p> <p>All management oversight of Merit 5 employees is performed exclusively by Merit 1 employees</p>
--	--

# Plan & Align Workforce

## Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

## Performance Measures:

Management profile  
Workforce Planning measure (TBD)

**Percent employees with current position/competency descriptions**

## Current Position/Competency Descriptions

Agency Priority: Low

**Percent employees with current position/competency descriptions = 100%\***

\*Based on 1604 of 1604 reported employee count  
Applies to employees in permanent Merit 5 positions

### Job Descriptions are Available in the following Formats:

- **Position Descriptions (including Essential Job Functions)**
- **Classification Questionnaires**
- **Safety Management System Documents**
- **Collective Bargaining Agreement Language**

### Analysis:

- We have adequate numbers/methods of job descriptions (at least two types per position in each of nine collective bargaining units)

### Action Steps:

- Line HR Representatives will continue to renew each job description and method by which they are updated and make determination as to whether frequency is adequate, and whether it is sustainable. At this point in time we see no issues for this area

Data as of June 2009

Source for data: HRMS

Source for all descriptions: Operating & HR Departments; Safety Management System (SMS), Collective Bargaining Agreements (CBA's)

# Hire Workforce

## Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

## Performance Measures

### Time-to-hire vacancies

### Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

## Time-to-Hire / Candidate Quality

Agency Priority: N/A

### Time-to-Hire Funded Vacancies

Average number of days to hire*:	<b>68</b>
Number of vacancies filled:	<b>105</b>

\*Equals # of days from the date the hiring supervisor informs the agency HR Office to start the process to fill the position, to the date the job offer is accepted.

### Analysis:

- Time-to-fill for first six months of FY2009 depended primarily upon bid timing process for each bargaining unit, because numbers for first six months of fiscal year were weighted toward internal bids
- Number for second six months of fiscal year was weighted toward external hires, so time to fill number for complete year is higher than first six months

### Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Number = **194** Percentage = **78%**

Of the candidates interviewed, were hiring managers able to hire the best candidate for the job?

Hiring managers indicating "yes":

Number = **All** Percentage = **100%**

Hiring managers indicating "no":

Number = **0** Percentage = **0%**

# Hire Workforce

## Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

## Performance Measures

Time-to-hire vacancies

Candidate quality

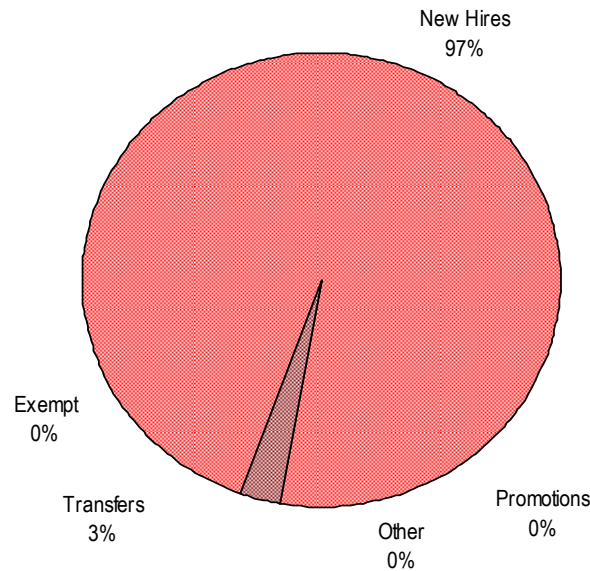
**Hiring Balance**  
(proportion of appointment types)

**Separation during review period**

## Hiring Balance / Separations During Review Period

Agency Priority: Medium

### Types of Appointments



**Total number of appointments = 109\***

Includes appointments to permanent vacant positions only; excludes reassignments  
"Other" = Demotions, re-employment, reversion & RIF appointments

## Analysis:

- WSF HR distributes monthly reminders to Directors and Managers regarding the due dates of probationary employees, highlighting when they will complete probation

## Action Steps:

- Line HR Representatives continue to analyze detail of the probationary separations. Action plan will be developed if it is determined a plan is needed beyond current action being taken

### Separation During Review Period

Probationary separations - Voluntary	1
Probationary separations - Involuntary	20
<i>Total Probationary Separations</i>	<i>21</i>
 Trial Service separations - Voluntary	 0
Trial Service separations - Involuntary	0
<i>Total Trial Service Separations</i>	<i>0</i>
 <b>Total Separations During Review Period</b>	 <b>21</b>

Data as of June 2009

Source: Internal Recruiting Data, AOSS

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

**Percent employees with current performance expectations**

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

## Current Performance Expectations

Agency Priority: Low

**Percent employees with current performance expectations = 100%\***

\*Based on 1604 of 1604 reported employee count  
Applies to employees in permanent Merit 5 positions

### Performance Expectations Functional Equivalents:

- New Hire Orientation
- Quick Notices
- Weekly Meeting with Staff
- Staff Master, Staff Chief Meetings
- Attendance Records (quarterly reports)
- Safety Meetings & Records
- Training Records
- Safety Management System (SMS) (including annual internal & external audits)
- Bi-Monthly Training log
- "Initial Vessel Familiarization" for licensed deck personnel
- "Detailed Vessel Familiarization List" for specified deck personnel
- "Performance Notifications"
- "Performance Log" for terminals employees

### Analysis:

- The methods utilized are adequate for communicating expectations
- However we need to monitor frequency and methods

### Action Steps:

- Line HR Representatives assigned to Deck, Vessel Preservation & Maintenance, and Terminals will track the frequency of use of a sampling of areas to help determine sustainability. At this point in time we see no issues

Data as of June 2009

Source for data: HRMS, Org Charts

Source for performance appraisal equivalents information: Operating Departments; Communications Department; HR Department Records; Safety Management System (SMS), Automated Operating Support System (AOSS) Dispatch System.



# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

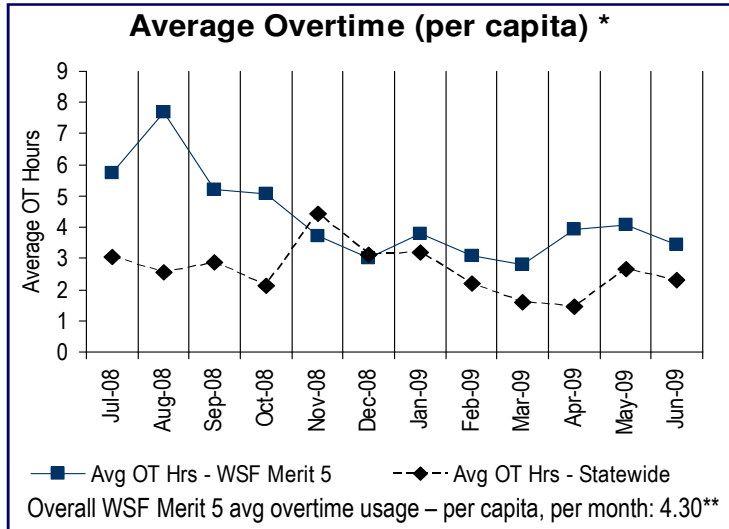
## Overtime usage

Sick leave usage

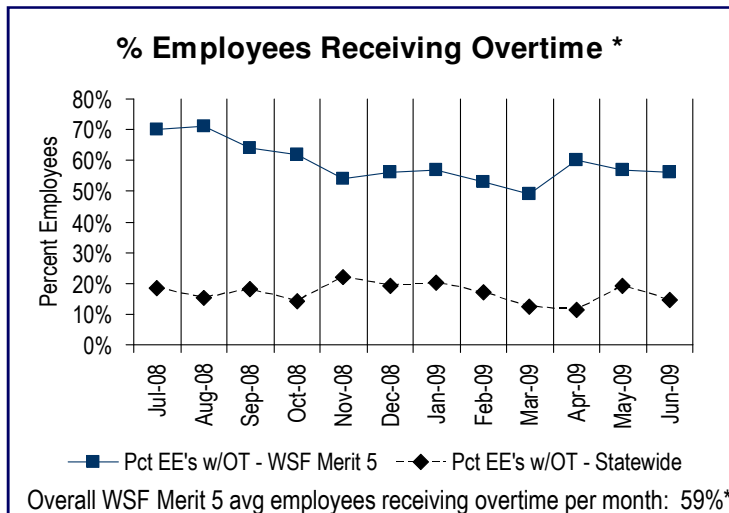
Non-disciplinary grievances/appeals filed and disposition (outcomes)

## WSDOT Ferries Division Merit 5 Employees Only FY2009 Overtime Usage

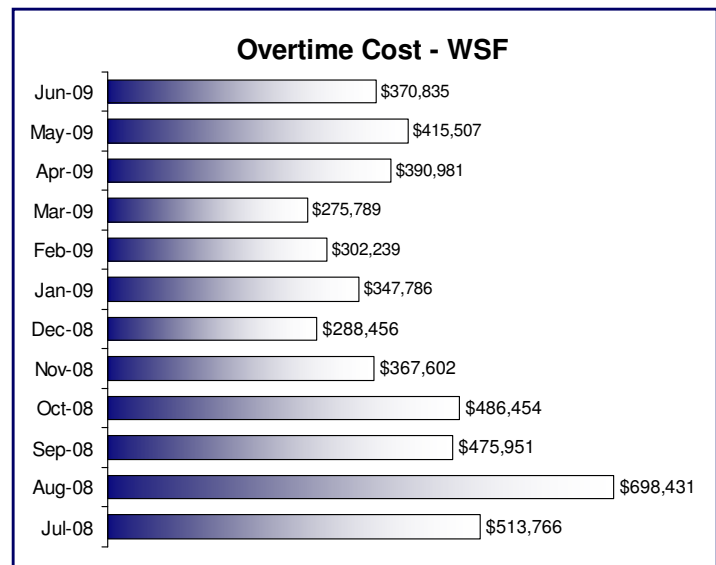
Agency Priority: Low



\*\*Overall WSF Merit 5 avg overtime usage – per capita, per month = sum of monthly OT averages / # months



\*\*Overall WSF Merit 5 avg employees receiving overtime per month = sum of monthly OT percentages / # months



## Analysis:

- Collected Merit 5 overtime data from IT, by month, for FY2009 and created Excel spreadsheet to calculate the averages
- Note: 100% of Merit 5 employees are eligible for overtime

## Action Steps:

- The procedure now being followed by WSF payroll to collect and provide data is consistent with DOT criteria for the DOP Management Report. No changes are necessary at this time

# Deploy Workforce

## Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

## Performance Measures

Percent employees with current performance expectations

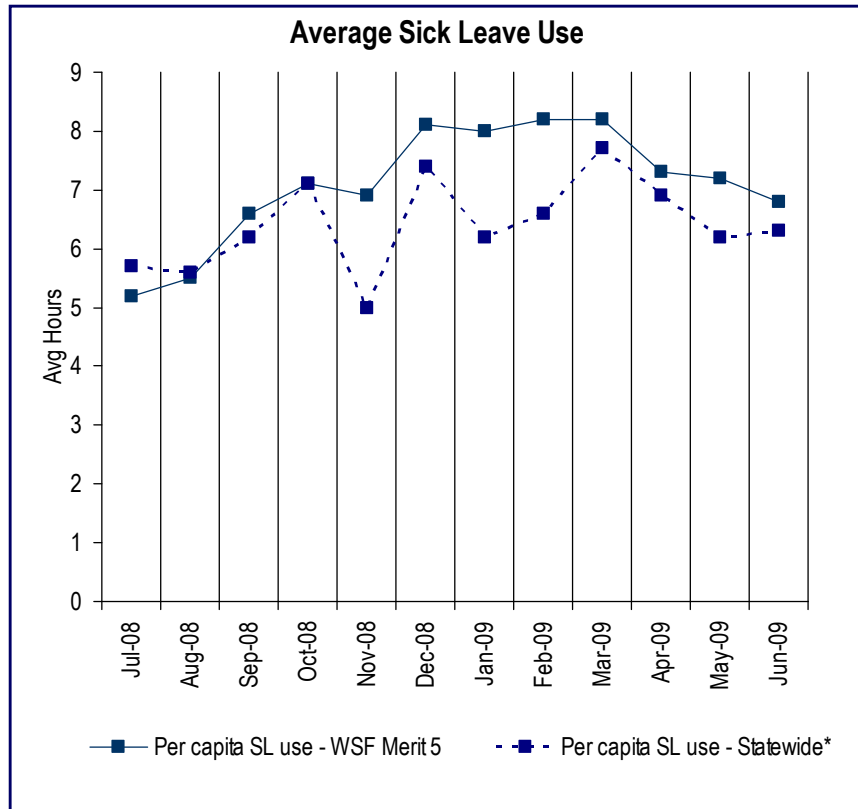
Overtime usage

## Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Agency Priority: Low

## Sick Leave Usage



## Analysis:

- Collected Merit 5 data from HRMS and created Excel spreadsheet to calculate the averages
- Note: On Jones Act injuries, employees can utilize full sick days in addition to maintenance payments. L & I employees will only use sick days (hours) to fill in "gap" between their L & I partial wages payment and full salary. Probably skews numbers somewhat higher for Merit 5
- Note: New IBU employees in "on call" status do not earn sick days until they have worked 1,040 hours. May skew numbers slightly lower for Merit 5

## Action Steps:

- The procedure now being followed by WSF payroll to collect and provide data for the DOP Management Report is adequate and reliable and no changes are necessary at this time

## Sick Leave Hrs Used / Sick Leave Balance (per capita)

Avg Hrs SL Used (per capita) – WSF Merit 5	Avg SL Balance (per capita) - WSF Merit 5	Avg Hrs SL Used (per capita) – Statewide*	Avg SL Balance (per capita) – Statewide*
7.08 Hrs	229.02 Hrs	6.4 Hrs	240.2 Hrs

\* Statewide data does not include DOL, DOR, L&I, and LCB  
Source: Payroll; HRMS & IT Records As of June 2009

## Deploy Workforce

### Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

### Performance Measures

Percent employees with current performance expectations

Overtime usage

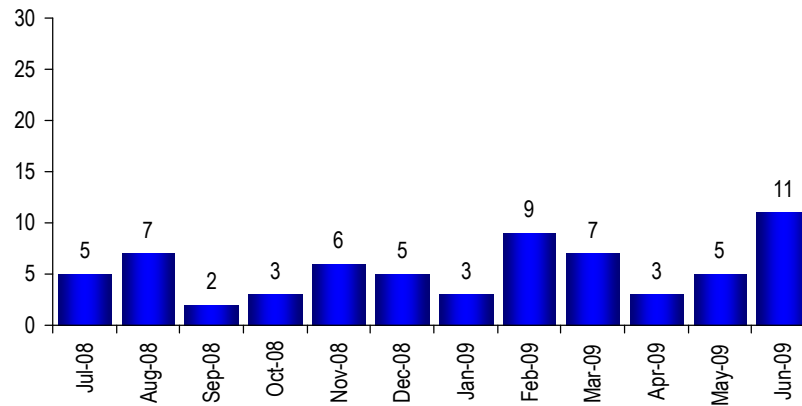
Sick leave usage

**Non-disciplinary grievances/appeals filed and disposition (outcomes)**

## Non-Disciplinary Grievances (represented employees)

Agency Priority: Low

**Number of Non-Disciplinary Grievances Filed**



**Total Non-Disciplinary Grievances = 66**

\* There may not be a one-to-one correlation between the number of grievances filed (shown top of page) and the outcomes determined during this time period. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

### Non-Disciplinary Grievance Disposition\*

(Outcomes determined during time period listed below)

**07/01/08 through 06/30/09**

**Settled: 30**  
**Withdrawn: 5**  
**Denied: 5**  
**Pending: 24**

### Top 5 Non-Disciplinary Grievance Types

(i.e., Compensation, Overtime, Leave, etc)

Grievance Type	# Grievances
1. Compensation	15
2. Bid System	13
3. Overtime	6
4. Leave	5
5. Other	27

### Analysis:

- WSF tracks and reports on the progress of all possible contract violations for Merit 5 employees through HRMS and the WSDOT HQ database from initial filing of the grievance through final resolution which could possibly result in arbitration through the MEC or FMCS. WSF LRO designed response templates for Step 1 & 2 grievances and is working closely with managers to ensure timely responses
- WSF LRO set up an Outlook calendar called WSF Grievance Response Tracking Calendar intended to remind the responding parties of impending deadlines
- WSF LRO emails out weekly updates on the status of active grievances & mails out all Step 1 & 2 grievance responses certified return receipt to ensure delivery to union

### Action Steps:

- WSF LRO will continue to work on building strong relationships with the Merit 5 Unions built on a foundation of communication to try to resolve grievances at the lowest level possible
- Continue to use Labor Management Committee meetings as a forum to discuss issues before they rise to the level of a grievance

Data as of June 2009

Source: WSF Labor Relations section of WSF HR Department, Grievance Logs

## **Deploy Workforce**

### **Outcomes:**

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

### **Performance Measures**

Percent employees with current performance expectations

Overtime usage

Sick leave usage

**Non-disciplinary  
grievances/appeals filed  
and disposition  
(outcomes)**

## **Non-Disciplinary Appeals (mostly non-represented employees)**

**This slide does not pertain to WSF Merit 5 Ferries Division.**

## Develop Workforce

### Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

### Performance Measures

#### Percent employees with current individual development plans

Competency gap analysis (TBD)

## Individual Development Plans

Agency Priority: Low

### Percent employees with current individual development plans = 67%\*

\*Based on 38 of 57 reported OPEIU employee count  
Applies to employees in permanent Merit 5 OPEIU positions

### Analysis:

- Due to statewide budget constraints, training has had to be limited to regulatory training only
- Determined what processes and measures are in place in order for a WSF Merit 5 employee to be able to identify a development plan; determined what is needed for a WSF Merit 5 employee to advance in his/her area
- Development plans exist for positions in each of the nine CBU's
- WSF Merit 5 employees make career advancements primarily through seniority and by training and certifications (e.g. USCG)
- OPEIU employees receive individual development plans through the use of their performance appraisals

### Action Steps:

- Line HR Representatives have developed a "Tick List" of what information and forms should be aboard vessels and in terminals for employees to use to help with their career development

Data as of June 2009

Source: Operations Departments; Training Department Office; Collective Bargaining Agreements (CBA's)

## Reinforce Performance

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

#### Percent employees with current performance evaluations

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

## Current Performance Evaluations

Agency Priority: Low

### Percent employees with current performance evaluations as of 06/30/09

OPEIU 67%

Sellers 100%

All Others N/A

**Total # of OPEIU employees as of 06/30/09 = 57**

**Total # of OPEIU employees with current performance evaluations as of 06/30/09 = 38**

**Total # of Sellers as of 06/30/09 = 105**

**Total # of Sellers with current performance evaluations as of 06/30/09= 105**

### Analysis:

- The only Merit 5 employees who can contractually receive a performance evaluation are the members of the OPEIU Collective Bargaining Unit. OPEIU members with a performance appraisal due are listed on a reminder sent to directors and managers once a month
- We are allowed to do performance appraisals on the sales performance aspects of the Sellers at the terminals, on a continuing basis
- The percents indicated are the total of OPEIU employees & Sellers who have a completed performance evaluation

### Conditions:

- The OPEIU CBA allows a performance evaluation to be given and therefore WSF is continuing to process these evaluations
- Metal Trades had received performance evaluations in the past but a letter of understanding through 6/09 had the practice by agreement between the LRO and Metal Trades. Metal Trade appraisals will begin again at Eagle Harbor with the new 09-11 collective bargaining period
- The remaining six CBU's are silent on performance evaluations, therefore may not be performed as a term and condition of employment unless negotiated into each CBA. Probationary employees do not fall under the CBA in this respect.

### Action Steps:

- HR Line Rep for Metal Trades will work with Director, Manager, Labor Relations and Union to reinstate evaluations

Data as of June 2009  
Source: HR Services Tracking

## Reinforce Performance

### Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

### Performance Measures

Percent employees with current performance evaluations

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

Reward and recognition practices (TBD)

## Formal Disciplinary Actions

Agency Priority: Low

### Disciplinary Action Taken

Action Type	# of Actions
Dismissals	4
Demotions	1
Suspensions	7
Reduction in Pay*	0
<b>Total Disciplinary Actions*</b>	<b>12</b>

\* Reduction in Pay is not currently available as an action in HRMS/BI.

### Issues Leading to Disciplinary Action

- Attendance
- Code of Conduct
- Performance

### Analysis:

- Continue to track Disciplinary Actions at WSF through WSF LRO's database and HQ database

### Action Steps:

- Continue to support WSF management by advising on corrective action and reviewing disciplinary letters for just cause and consistency of discipline actions to mitigate/prevent liability to agency
- WSF and Labor Relations have developed a discipline letter flow chart for WSF management

Data as of June 2009

Source: WSF Labor Relations section of WSF HR Department, Discipline Log

# Reinforce Performance

## Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

## Performance Measures

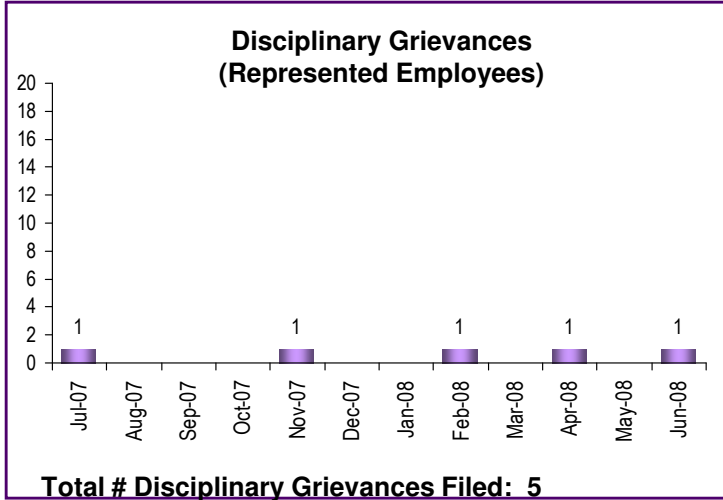
Percent employees with current performance evaluations

**Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)**

Reward and recognition practices (TBD)

## Disciplinary Grievances and Appeals

Agency Priority: Low



## Analysis:

- WSF tracks and reports on the progress of all possible contract violations for Merit 5 employees, from initial filing of the grievance through final resolution which could possibly result in arbitration through the MEC or FMCS, through HRMS and the WSDOT HQ database
- WSF LRO designed response templates for Step 1 & 2 grievances and is working closely with managers to ensure timely responses
- WSF LRO set up an Outlook calendar called WSF Grievance Response Tracking Calendar intended to remind the responding parties of impending deadlines
- WSF LRO emails out weekly updates on the status of active grievances

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

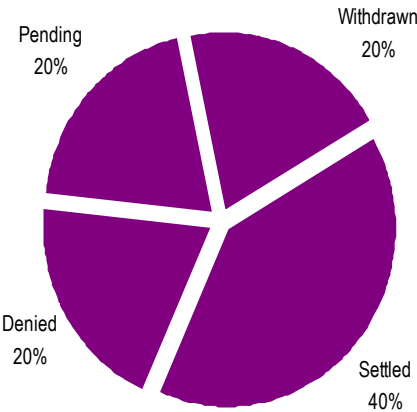
## Disposition (Outcomes) of Disciplinary Grievances

- Settled 2
- Withdrawn 1
- Denied 1
- Pending 1

## Action Steps:

- WSF LRO will continue to work on building strong relationships with the Merit 5 Unions built on a foundation of communication to try to resolve grievances at the lowest level possible
- Continue to use Labor Management Committee meetings as a forum to discuss issues before they rise to the level of a grievance

## Disposition (Outcomes) of Disciplinary Appeals\*



Data as of June 2009

Source: WSF Labor Relations section of WSF HR Department, Grievance Log

Note: WSF will be utilizing statewide grievance tracking system as soon as system is in place



## ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

### Performance Measures

Turnover rate: key occupational categories

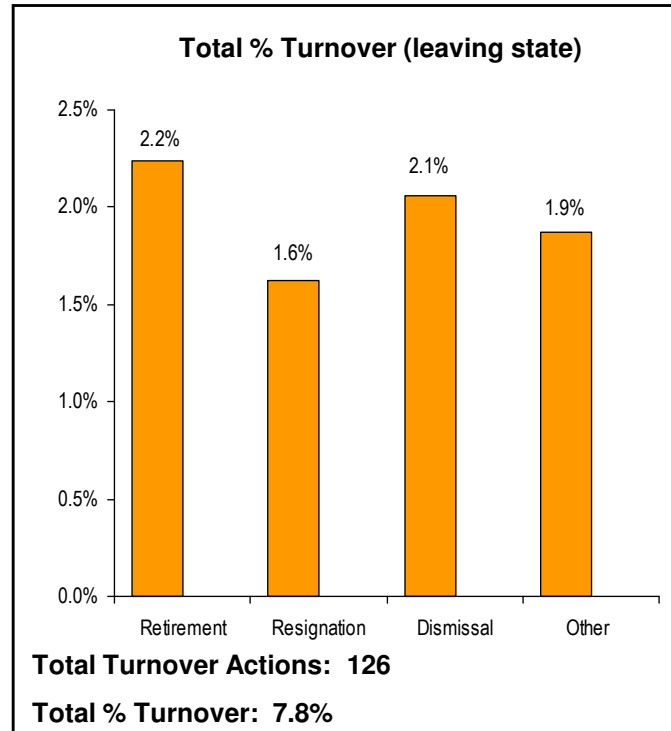
**Workforce Diversity Profile**

**Employee Survey Information**

Retention measure (TBD)

## Turnover Rates

Agency Priority: Medium



### Analysis:

- Recovered information from HRMS and departmental ACCESS reports; need to continue to analyze in more detail for specifics behind each category

### Action Steps:

- HR Reps for Vessel Maintenance, Terminals, and Deck are intimately involved in the recruitment process. They will continue to provide recommendations on the recruiting process, sourcing, screening, and initial retention. The WSF HR Manager will assist Line HR Reps in developing statistical screening models to help them predict "applicant-to-hire" ratios.
- Long-term workforce/manpower planning programs need to be developed on a greater and more in-depth scale to address expected retirements over the next 10-15 years

# ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

## Performance Measures

Turnover rates and types

Turnover rate: key occupational categories

## Workforce Diversity Profile

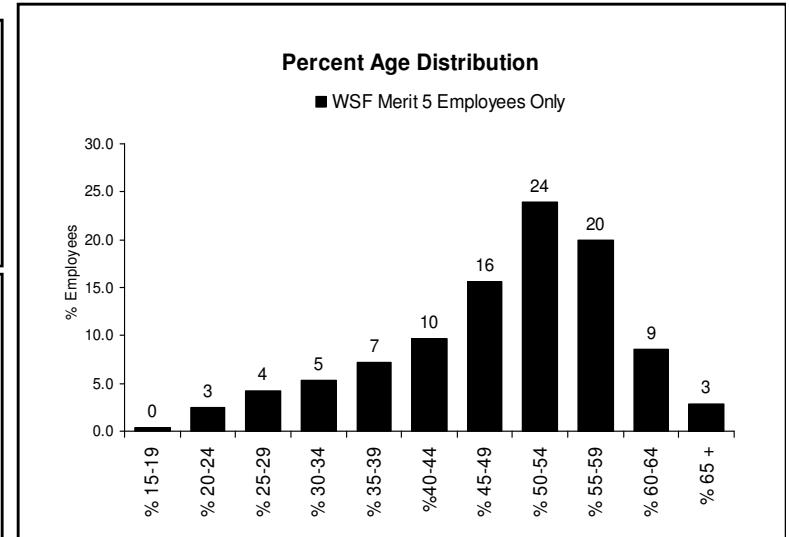
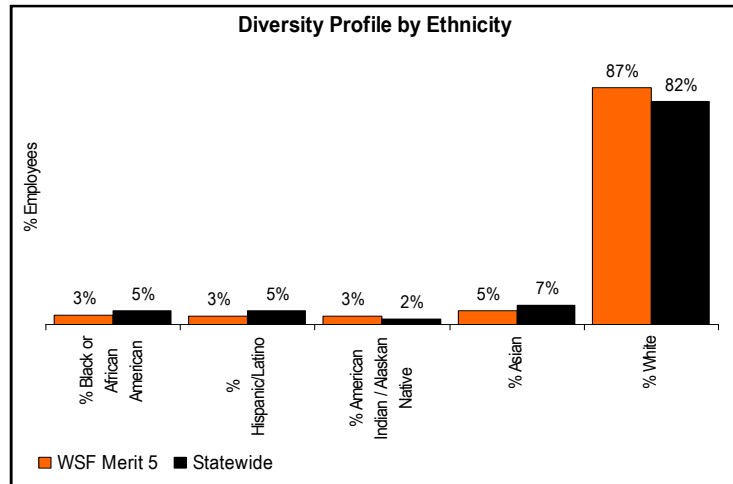
### Employee Survey Information

Retention measure (TBD)

Agency Priority: Medium

## Workforce Diversity Profile

	WSF Merit 5	State
Female	25.5%	53%
Persons w/Disabilities	4.8%	4%
Vietnam Era Veterans	2.0%	6%
Veterans w/Disabilities	0.1%	2%
People of color	13.2%	18%
Persons over 40	80.5%	74%



## Analysis

- Anecdotal, we believe that the number of employees who would self-identify as "disabled" is much higher with employees, currently, than when they were hired, which is the only time they had opportunity to self-identify. That said, most of the fleet positions cannot be filled with "Persons with Disabilities" or "Disabled Veterans"

## Action Steps

- All Accommodation cases have been evaluated and a determination has been made on an individual basis and any change in status has been made in HRMS
- WSF uses community outreach and attends minority career fairs to attract minority candidates and promote diversity

## Employee Survey Ratings

### ULTIMATE OUTCOMES

**Employees are committed to the work they do and the goals of the organization**

**Successful, productive employees are retained**

**The state has the workforce breadth and depth needed for present and future success**

#### **Performance Measures**

Turnover rates and types

Turnover rate: key occupational categories

#### **Workforce Diversity Profile**

#### **Employee Survey Information**

Retention measure (TBD)

**WSF Merit 5 Employee Data is included in the overall WSDOT survey results and is not available separately**